

**SPECIFICATION, continued**

- Handwritten notes:*  
OK'd to  
amend spec  
w/ top of  
figs for description
- ☒ U.S. applications referred to by Attorney Docket Number should be changed to U.S. Serial Numbers. (Red ink, initial and date in margin.)
  - ☒ Update status of referenced U.S. applications (e.g. "now abandoned", or "issued as US Patent No.:" (Red ink, initial and date in margin.)
  - ☒ Recheck for Brief Description of Drawings of each figure. Note that if figures have multiple parts (e.g. Fig. 1A, Fig. 1B, etc.)\_ Each individual part must be referred to in the brief description of the drawings.
  - ☒ Recheck Brief Summary & Description to see if in harmony with the claims, amend as necessary (red ink, initial and date in margin) (MPEP 1302.01).
  - ☒ No blanks or missing text (e.g. "Serial Number \_\_\_\_").
  - ☒ No amendments are misplaced or unclear.
  - ☒ Erase all pencil marks and notations (Reminder: pencil marks not permitted in file).
  - ☒ No unclear or missing words because of HOLES at top of page or poor copy quality.
  - ☒ No missing pages or page numbers, no duplicate pages, page numbers are consecutive.
  - ☒ Examples, tables, etc. numbered/lettered consecutively.
  - ☒ Text and tables/charts legible.
  - ☒ No non-initialed alterations.
  - ☒ Minor, obvious errors in spelling, grammar, punctuation corrected in red ink by Examiner; initial and date in left margin.
  - ☒ CD-ROM submissions (e.g. large tables, computer programs) are in compliance with MPEP 608.05.

**Biotech only:**

- Handwritten:* N/A
- ☒ Complies with sequence rules:
    - ☒ CRF filed and approved by STIC or generated from parent (MPEP 2422.05)
    - ☒ Raw sequence listing entered in file (right side).
    - ☒ Sequence listing inserted and paginated after claims.
    - ☒ Sequence listing matches CRF.

- N/A ☒ All requirements for Deposit of Biological Materials have been fulfilled (See MPEP 2411: 37 CRF §1.809).

### 3. OATH OR DECLARATION

- ☒ Original, first and sole/joint inventor(s) clause.
- ☒ Contains "reviewed and understands" and "duty of disclosure" statements, CIP oath states duty to disclose intervening art.
- ☒ Names of applicants on file wrapper/ bibliographic data sheet same as in oath/declaration.
- ☒ Full given name for each applicant (MPEP 605.04(b)).
- ☒ Signature, date of execution, Address and Citizenship for each inventor. (Address and/or Citizenship may be found on Application Data Sheet, see MPEP 601.05).
- ☒ Any alterations initialed and dated.
- ☒ Foreign priority includes country, serial number and filing date (check against file wrapper/bibliographic data sheet). (May be found on Application Data Sheet, see MPEP 601.05).
- ☒ Continuing data, if any, is completed and agrees with first paragraph of specification and bibliographic data sheet. (May be found on Application Data Sheet, see MPEP 601.05. If on Application Data Sheet, does not need to be repeated at first paragraph of specification, will be printed automatically).

### 4. APPLICATION DATA SHEET

- N/A ☒ If more than one Application Data Sheet is present, only the most recent one is considered.
- ☒ If present, must be compared with Oath/Declaration. If any discrepancies, a notice of defective oath or declaration should be sent. See MPEP 601.05.

### 5. PTO-1449 INFORMATION DISCLOSURE STATEMENT (MPEP 609)

- ☒ U.S. Patents-identified by patent number, patent date (Month-Year), and patentees.
- ☒ Foreign published applications and patents-identified by document number, publication date (Month-Year) and country or office.
- ☒ Printed publications-identified by author (if any), title, publication date (Month-Year), volume and issue number (if known), and pages relied on.
- ☒ Examiner should initial all citations considered.

- ☒ Examiner should draw a line through each citation not considered.

**PTO-1449, con't.**

- ☒ For each US patent considered, Examiner should insert the relevant classification or draw a line in the space provided for classification information.
- ☒ Sign and date each page.
- ☒ No duplicate references- cross out any subsequent occurrences of a previously cited reference (including on PTO-892).

**6. PTO-892 NOTICE OF REFERENCES CITED (MPEP 707.05)**

- N/A ☒ PTO-892 is present – if the Examiner cited no references, write “NONE” across the body of the form.
- ☒ U.S. Patents-identified by patent number, patent date (Month-Year), and patentees. If class/subclass not provided, line through appropriate boxes.
- ☒ Foreign published applications and patents-identified by document number, publication date (Month-Year) and country or office. If classification not provided, line through appropriate boxes.
- ☒ Printed publications-identified by author (if any), title, publication date (Month-Year), volume and issue number (if known), and pages relied on.

**7. DRAWINGS**

- ☒ Figure selected for printing must be consistent with claim selected for printing, and must be referred to in the abstract. If no figure is to be printed, write “none” in the appropriate box on the file-wrapper.
- ☒ Do not select a figure labeled as “prior art” for printing.
- ☒ If color photographs or drawings are present, check MPEP 608.02 for requirements.
- For applications filed prior to 11/29/00 only:**
- ☒ Attach “Yellow Tag” if drawings are informal or need corrections (MPEP 608.02 (z)).
- ☒ Class-subclass on drawing stamping should agree with that on outside of File Jacket.

## 8. INSIDE of FILE JACKET

- ☒ Update and complete Searched Box, Searched Notes Box and Interference Searched Box.
- ☒ Search Notes Box:
  - ☒ Parent files checked
  - ☒ Consultations with other examiners, practice specialists, SPE's, recorded.
  - ☒ Database searches recorded, with "printout attached" indicated, or search strategy set forth; specific vendors and files listed (e.g. Dialog, files 5, 55).
- ☒ Interference Searched Box:
  - ☒ Lists both original class and subclass and all cross-referenced classes and subclasses.
  - ☒ Indicates interference search of claimed sequences (Biotech).
- ☒ Enter Final claim numbers and indicate allowed status in Index of Claims Box (black ink).

## 9. OUTSIDE of FILE JACKET

- ☒ Assistant Examiner and Primary Examiner spaces should be completed.
- ☒ Update FINAL classification: all three occurrences must agree (black ink) with each other and Drawing Stamping. (Two occurrences plus blue slip for 08/ series and previous)
- ☒ Complete classification cross-references. (On blue slip for 08/ series and previous.)
- ☒ Complete INTERNATIONAL CLASSIFICATION. (On blue slip for 08/ series and previous.)
- ☒ TITLE-should reflect claimed invention-Rewrite if necessary (bleachable red ink, initial and date).
- ☒ Print claim should be the most comprehensive independent claim that conveys the nature of the invention. If dependent claim is printed, independent claim from which it depends must also be printed.
- ☒ If only one claim is being allowed, write "the" in the "print claim" box instead of "1".
- ☒ Fill in numbers of Figures and Figure Sheets. Count sub-figures (i.e. 1B, 1C, etc.) as separate figures.
- ☒ Terminal Disclaimer sticker, if present, should have proper date.

No space  
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**10. BIBLIOGRAPHIC DATA SHEET (FILE WRAPPER for 08/ series and previous):**

- ☒ Update and complete Continuing Data including identifying any PCT applications and filing date and if published, its date and identifying number. Continuing data should agree with first paragraph of specification. Note: Certain errors or omissions of preprinted data must be submitted to Application Branch to correct Palm database. (MPEP202.02 & 620.06).
- ☒ Recheck Foreign-PCT application with oath or declaration. If in error, correct in black ink (See MPEP202.03).
- ☒ Foreign priority claim should be verified and acknowledged.
- ☒ Check to see if certified copy of priority document is present and acknowledged.

**11. MISCELLANEOUS**

- ☒ Contents of file wrapper should be checked to ensure that all amendments were timely filed and the application is not abandoned (all necessary extensions of time have been purchased or authorized).
- ☒ All foreign and publications cited during the prosecution should be permanently attached to the file. Copies of U.S. patents are left in the file (for possible review by Quality Review), but are not clipped to the file.
- ☒ Papers pertaining to computer searches, e.g. PTO-1041, computer generated search reports, computer generated logic statements, sequence searches should be attached to the file (be sure to remove interference search).
- ☒ Check to ensure the substance of all interviews is of record in the file.
- ☒ In cases filed under 35 U.S.C. §371, a PCT form 903 is present on the right side of the file authorizing the filing under 371 and stating the priority dates. A photocopy of the ribboned priority document must also be in the file.